

IFW

03500.013747.1

PATENT APPLICATION



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
: Examiner: N.Y.A.
KENICHIRO ONO)
: Art Unit: 2122
Application No.: 10/787,196)
:
Filed: February 27, 2004)
:
For: DATA PROCESS, PROGRAM)
:
UPDATING METHOD AND)
:
STORAGE MEDIUM) February 7, 2006

COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450

STATUS INQUIRY
AND REQUEST FOR CORRECTION OF FILEWRAPPER

Sir:

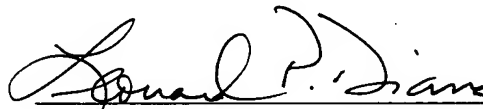
Applicant respectfully requests to be advised as to the status of the above-identified application. The application was filed on February 27, 2004, as can be seen from the PAIR system. To date, no Office Action has been received for this application, and as far as can be seen from PAIR, the application has not even been assigned to an Examiner.

Since the application was filed more than a year ago, the Patent and Trademark Office is requested promptly to indicate to the undersigned when it is expected to issue an Office Action.

In addition, Applicant notes from PAIR that the electronic filewrapper of this application contains an Information Disclosure Statement, dated September 9, 2004 (copy attached), that does not relate to this application, but to another with a similar application number (A.N. 10/786,196). Applicant would prefer that the filewrapper of his application be as correct as possible, and not include papers inadvertently misfiled. Accordingly, removal of that Information Disclosure Statement from the patent and Trademark Office file of the present application is respectfully requested.

Applicant's undersigned attorney may be reached in our New York office by telephone at (212) 218-2100. All correspondence should continue to be directed to our below listed address.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Leonard P. Diana", written over a horizontal line.

Leonard P. Diana
Attorney for Applicant
Registration No. 29,296

FITZPATRICK, CELLA, HARPER & SCINTO
30 Rockefeller Plaza
New York, New York 10112-3801
Facsimile: (212) 218-2200



THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Docket No. 12778US03)

(Copy of paper
erroneously
placed in file
of 10/787,196)



In the Application of:

Saliba

Serial No.: 10/786,196

Filed: February 25, 2004

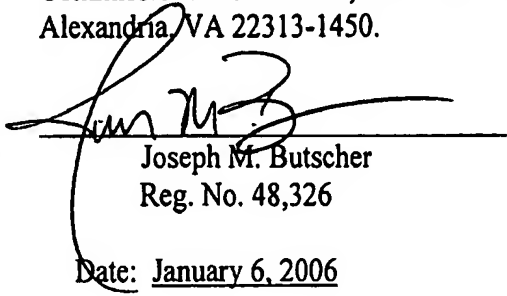
For: Method and Apparatus for Stock and Index
Option Price Improvement, Participation, and
Internalization

Examiner: Jagdish N. Patel

Group Art Unit: 3624

CERTIFICATE OF MAILING

I hereby certify that this correspondence is
being deposited, with sufficient postage,
with the United States Postal Service as
first class mail in an envelope addressed to:
Commissioner for Patents, P.O. Box 1450,
Alexandria, VA 22313-1450.


Joseph M. Butscher
Reg. No. 48,326

Date: January 6, 2006

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:


This Information Disclosure Statement supplements the information disclosure statements filed on February 25, 2004, and September 9, 2004. Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the reference listed on the attached PTO form be considered in the examination of the above-identified patent application.

This submission, is in no way intended as an admission that the listed reference constitutes prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the right to take any actions necessary to remove the references from the available prior art.

Consideration of the reference in the examination of the present patent application is respectfully requested.

No fee is believed to be due because it is believed that this statement is being filed before the first Office Action on the merits has been mailed by the PTO. Please charge any fees due in connection with this statement to the deposit account of McAndrews, Held & Malloy, Ltd., Account No. 13-0017.

Respectfully submitted,



Joseph M. Butscher
Reg. No. 48,326

Date: January 6, 2006

JAN 09 2006
PATENT & TRADEMARK OFFICE
Cancel

PTO/SB/08A (08-03)

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1549/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

O I P E I A P 8 8
FEB 08 2006
PATENT & TRADEMARK OFFICE

Complete if Known

Application Number	10/786,196
Filing Date	February 25, 2004
First Named Inventor	Saliba
Group Art Unit	3624
Examiner Name	Patel
Attorney Docket Number	12778US03

Sheet 1 of

U.S. PATENT DOCUMENTS

Examiner Initial*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	6,938,011	08-30-2005	Kemp, II et al.	
	A2				
	A3				
	A4				
	A5				
	A6				
	A7				
	A8				
	A9				
	A10				
	A11				
	A12				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
	A13					
	A14					
	A15					
	A16					
	A17					

OTHER ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	A18	
	A19	
	A20	
	A21	
	A22	

EXAMINER SIGNATURE	DATE CONSIDERED
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1800-786-9199) and select option 2.

Rev. Sept. 03

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